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Thomas M. Jessell et al. Applicants:

JUL 1 6 2004

Serial No.:

09/654,462

Group Art Unit: 1632

Filed

September 1, 2000 Examiner: A.M. Falk, Ph.D.

For

GENETIC DEMONSTRATION OF REQUIREMENT FOR NKX6.1

AND NKX2.2 IN VENTRAL NEURON GENERATION

Date of Notice

of Allowance: December 8, 2003 Confirmation No.:

6093

Issue Fee Paid: March 5, 2004

1185 Avenue of the Americas New York, New York 10036

July 16, 2004

Mail Stop 313(c) Commissioner for Patents P.O. Box -1450-Alexandria, VA 22313-1450

Sir:

COMMUNICATION AND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Applicants paid the issue fee for U.S. Serial No. 09/654,462 on March 5, 2004. In a petition being filed herewith, applicants petition that U.S. Serial No. 09/654,462 withdrawn from issue under 37 C.F.R. §1.313(c)(2) consideration of a Request for Continued Examination ("RCE") in compliance with 37 C.F.R. §1.114 filed herewith so that references not previously of record which are submitted with the accompanying Supplemental Information Disclosure Statement may be considered by the Patent Office.

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Supplemental Information Disclosure Statement

Applicants are filing this Supplemental Information Disclosure Statement to supplement the Information Disclosure Statement filed on October 23, 2001, and the supplemental Information Disclosure Statement filed on February 13, 2002 in connection with the subject application.

In accordance with their duty of disclosure under 37 C.F.R. §1.56 and pursuant to 37 C.F.R. §1.97(b)(4), applicants direct the Examiner's attention to the references which are listed on the attached Form PTO-1449 (Exhibit A):

- 1. U.S. Serial No. 09/569,259, filed May 11, 2000 on behalf of Thomas M. Jessell et al., including pending claims (Exhibit 1):
- 2. U.S. Serial No. 10/362,437, filed February 20, 2003 on behalf of Thomas M. Jessell et al., including pending claims (Exhibit 2);
- 3. PCT International Application No. PCT/US01/15290, filed May 11, 2001, International Publication No. WO01/84933 Al, published November 15, 2001 (Exhibit 3);
- 4. PCT International Application No. PCT/US01/27256, filed August 31, 2001, International Publication No. W002/18545
 A1, published March 7, 2002 (Exhibit 4);

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- 5. European Patent Application No. 01968382, filed August 31, 2001, European Publication No. EP1315794, published June 4, 2003 on behalf of The Trustees of Columbia University in the City of New York, including Voluntary Amendment filed March 28, 2003 (Exhibit 5);
- 6. Campbell, G. et al., (1999) "Transducing the Dpp Morphogen Gradient in the Wing of Drosophila: Regulation of Dpp Targets by brinker", Cell 96: 553-562 (Exhibit 6);
- 7. Chiang, C. et al., (1996) "Cyclopia and Defective Axial Patterning in Mice Lacking Sonic Hedgehog Gene Function",

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- J.S. al., (1999) "Combinatorial Codes 8. Dasen, et Signaling and Synergy: Lessons From Pituitary Development", Curr. Opin. Genet. & Dev. 9: 566-574 (Exhibit 8);
- 9. Ding, Q. et al., (1998) "Diminished Sonic Hedgehog Signaling and Lack of Floor Plate Differentiation in Gli2 Mutant Mice", Development 125: 2533-2543 (Exhibit 9);
- 10. Doetsch, F. et al., (1999) "Subventricular Zone Astrocytes Are Neural Stem Cells in the Adult Mammalian Brain", Cell 97: 703-716 (Exhibit 10);
- 11. Erskine, L. et al. (1998) "Progenitor Dispersal and the Origin of Early Neuronal Phenotypes in the Chick Embryo Spinal Cord" Dev. Biol. 199: 26-41 (Exhibit 11);

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- 13. Gage, F.H. (2000) "Mammalian Neural Stem Cells", Science 287:1433-1438 (Exhibit 13);
- 14. Huang, A.M. et al. (1997) "An Anteroposterior Dorsal Gradient in the Drosophila Embryo", Genes & Dev. 11: 1963-1973 (Exhibit 14);
- 15. Ingham, P.W. (1998) "Transducing Hedgehog: The Story So-Far" EMBO J. 17: 3505-351 (Exhibit 15);
- 16. Jazwinska, A. et al. (1999) "The Drosophila Gene brinker Reveals a Novel Mechanism of Dpp Target Gene Regulation",

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 - 17. Johansson, C.B. et al. (1999) "Identification of a Neural Stem Cell in the Adult Mammalian Central Nervous System", Cell 96: 25-34 (Exhibit 17);
 - 18. Kraut, R. et al. (1991) "Spatial Regulation of the Gap Gene giant During Drosophila Development", Development 111: 601-609 (Exhibit 18);
 - 19. Krishnan, V. et al. (1997) "Mediation of Sonic Hedgehog-Induced Expression of COUP-TFII by a Protein Phosphatase", Science 278: 1947-1950 (Exhibit 19);

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- 21. Lewis, K.E. et al. (1999) "Expression of ptc and gli Genes in talpid³ Suggests Bifurcation in Shh Pathway" Development 126: 2397-2407 (Exhibit 21);
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- 23. Marti, E. et al. (1995) "Distribution of Sonic Hedgehog Peptides in the Developing Chick and Mouse Embryo",

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- 24. Matise, M.P. et al. (1998) "Gli2 is Required for Induction of Floor Plate and Adjacent Cells, But Not Most Ventral Neurons in the Mouse Central Nervous System", Development 125: 2759-2770 (Exhibit 24);
- 25. McDowell, N. et al. (1999) "Activin as a Morphogen in Xenopus Mesoderm Induction", Semin. Cell & Dev. Biol. 10: 311-317 (Exhibit 25);
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- 29. Roelink, H. et al. (1995) "Floor Plate and Motor Neuron Induction by Different Concentrations of the Amino-Terminal Cleavage Product of Sonic Hedgehog Autoproteolysis", Cell 81: 445-455 (Exhibit 29);
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- 32. Sharma, K. et al. (1998) "LIM Homeodomain Factors Lhx3 and Lhx4 Assign Subtype Identities for Motor Neurons", Cell 95: 817-828 (Exhibit 32);
- 33. Smith, J.C. (1995) "Mesoderm-Inducing Factors and
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- 64 Rolink, A.G. et al. (1999) "Long-term in vivo reconstitution of T-cell development by Pax5-deficient B-cell progenitors", Nature 401: 603-606 (Exhibit 55);
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- 70. Wang, C.C. et al. (2000) "Conserved linkage of NK-2 homeobox gene pairs Nkx2-2/2-4 and NK-2-1/2-9 in mammals", Mamm. Genome 11: 466-468 (Exhibit 61);
- 71. Yun, K., Potter, S. and Rubenstein, J.L. (2001) "Gsh2 and Pax6 play complementary roles in dorsoventral patterning of the mammalian telencephalon", *Development* 128: 193-205 (Exhibit 62); and
- 72. Canadian Patent Application No. 2,419,851, filed August 31, 2001, on behalf of The Trustees of Columbia University in the City of New York, including a copy of August 25, 2003 Voluntary Amendment (Exhibit 63).

The subject application is a continuation-in-part and claims the benefit under 35 U.S.C. §120 of U.S. Serial No. 09/569,259, filed May 11, 2000, a copy of which is attached hereto as **Exhibit 1**. Above listed references 38-44 were submitted to and considered by the United States Patent and Trademark Office in a supplemental Information Disclosure Statement filed on January 28, 2002 in connection with U.S.

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Serial No. 09/569,259, filed May 11, 2000. Above listed references 36 and 37 were cited by the United States Patent and Trademark Office in an Office Action dated August 1, 2002 in connection with U.S. Serial No. 09/569,259, filed May 11, 2000. Accordingly, under 37 C.F.R. §1.98(d) copies of these references are not required to be provided to the United States Patent and Trademark Office, since they were previously submitted to and considered by the United States Patent and Trademark Office.

U.S. Serial No. 10/362,437, filed February 20, 2003 claims the benefit under 35 U.S.C. §120 of PCT International Application No. PCT/US01/27256, filed August 31, 2001, which claims priority of and benefit under 35 U.S.C. §120 of the subject application. A copy of which is attached hereto as **Exhibit 2**.

International Application No. PCT/US01/15290, filed May 2001, is a foreign counterpart application and claims priority of U.S. Serial No. 09/569,259, filed May 11, 2000, of which the subject application is a continuation-in-part and claims priority. A copy of which international application is attached hereto as Exhibit 3. A Search Report was issued on 29, 2001 August in connection with PCT International Application No. PCT/US01/15290, filed May 11, 2001. A copy of the Search Report is attached hereto as Exhibit B. listed reference 30 was cited in the Search Report, a copy of which is attached hereto as Exhibit 30. The remaining references cited in the Search Report were previously submitted to and considered by the United States Patent and Trademark Office in an Information Disclosure Statement filed

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on October 23, 2001 in connection with the subject application.

PCT International Application No. PCT/US01/27256, filed August 31, 2001, is a continuation-in-part and claims priority of the subject application. A copy of which is attached hereto as **Exhibit 4**.

European Patent Application No. 01968382, filed August 31, 2001, European Publication No. EP1315794, published June 4, 2003, claims priority of PCT International Application No. PCT/US01/27256, filed August 31, 2001, which claims priority of and benefit under 35° U.S.C. §120 of the subject application. A copy of which is attached hereto as Exhibit 5.

Canadian Patent Application No. 2,419,851, filed August 31, 2001 claims priority of PCT International Application No. PCT/US01/27256, filed August 31, 2001, which claims priority of and benefit under 35 U.S.C. §120 of the subject application. A copy of which is attached hereto as **Exhibit 63**.

References 6-35 and 45-71 are attached hereto as Exhibits 6-62, respectively.

If a telephone interview would be of assistance in advancing prosecution of the subject application, applicants' undersigned attorney invites the Examiner to telephone him at the number provided below.

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No fee, other than the \$385.00 RCE filing fee, included in the enclosed check for \$515.00, is deemed necessary in connection with the filing of this Communication and supplemental Information Disclosure Statement. However, if any additional fee is required, authorization is hereby given to charge the amount of such fee to Deposit Account No. 03-3125.

Respectfully submitted,

John P. White

Registration No. 28,678
Attorney for Applicants
Cooper & Dunham LLP
1185 Avenue of the Americas
New York, New York 10036

(212) 278-0400

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Applicants: Thomas M. Jessell et al. Serial No.: 09/654,462

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Exhibit A

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